

FY 2020 Performance Data Form: Module 1 (Grantee Survey) *Step-By-Step Overview*

LIHEAP Webinar hosted by the Office of Community Services (OCS) in the Administration for Children and Families (ACF) presented by APPRISE under contract to OCS

February 16, 2021

Welcome:

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Presenters:

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Welcome

- **Purpose of This Webinar**

- To provide an in-depth overview of the LIHEAP Performance Data Form - Module 1 (Grantee Survey), including a line-by-line review of each reporting item and instruction.
- To explain the new reporting requirements for CARES Act funds.

- **Audience for This Webinar**

- New LIHEAP Coordinators and staff who have not worked on completing the Grantee Survey.
- Experienced LIHEAP Coordinators and staff that would like to review the requirements in detail to understand all of the instructions and avoid reporting issues.

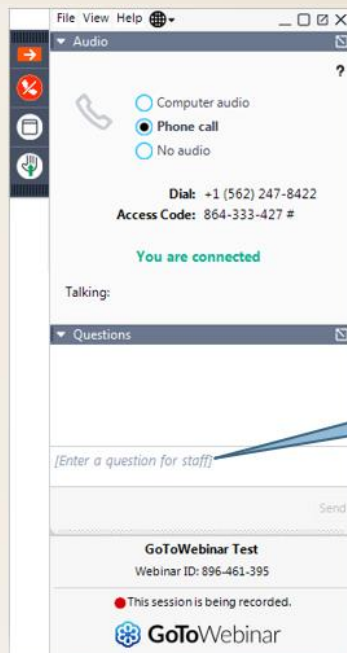
Webinar Overview

- **Structure of The Webinar**
 - 90-minutes with question breaks.
 - **Slides and resources available for download now** under “Handouts” in the GoToWebinar Sidebar.
 - The webinar is being recorded and will be published on the ACF YouTube channel.

GoToWebinar Question Box

- **Have a question?**

- You are encouraged to ask questions as you have them by typing them into the GoToWebinar “Question” box.
- Submitted questions will be reviewed and responded to at the end of the webinar or via an e-mail from APPRISE.



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Presenter(s):
Melissa Torgerson

Presentation Outline

- | | |
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| 1. Overview of the Grantee Survey | Slide 9 |
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Overview of the Grantee Survey



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Overview of the Performance Measures

The Performance Data Form

- The Performance Data Form is one report consisting of three modules:



- Module 1 (Grantee Survey) – Mandatory
- Module 2 (Performance Measures) - Mandatory
- Module 3 (Optional Performance Measures) – Optional

Overview of the Grantee Survey

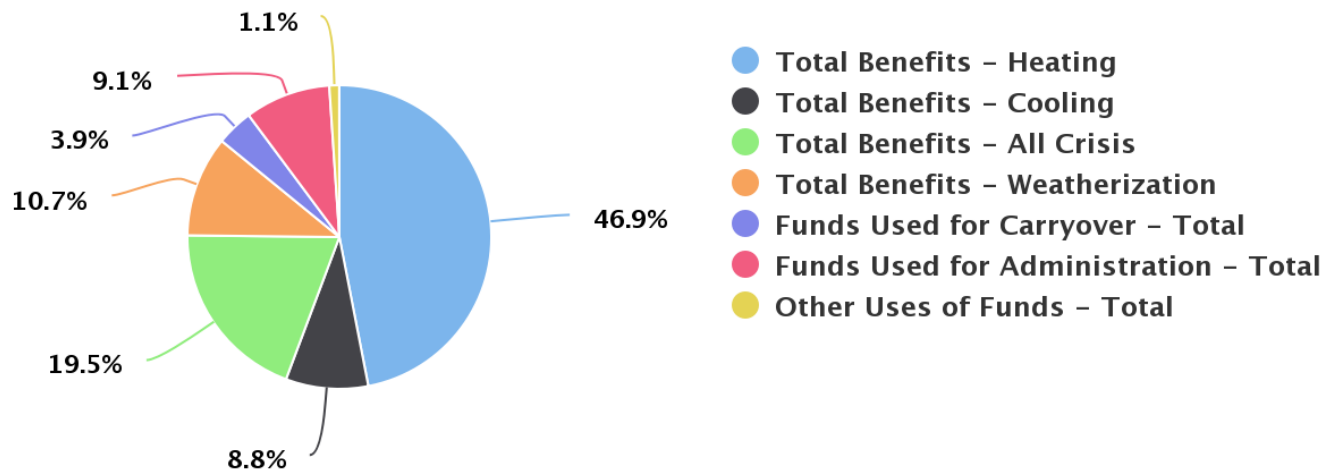
Background

- The Grantee Survey is a historic LIHEAP report to provide OCS with important information on how state grantees obligate available funds during a specific federal fiscal year.
- Three main types of data need to be reported:
 - The amount of funds obligated to different LIHEAP components
 - The average LIHEAP benefits provided to households
 - The income eligibility criteria used for each LIHEAP program component
- **It is not an audit report.** Rather, the Grantee Survey provides a snapshot of how LIHEAP funds are used each fiscal year, the average benefit amounts households are receiving, and how grantees are setting eligibility criteria.

Overview of the Grantee Survey

Example of Grantee Survey Data

Use of LIHEAP Program Funds – National – Fiscal Year 2019



- Charts and tables with state Grantee Survey data are available in the [LIHEAP Data Warehouse](#) under “Standard Reports”.

FY 2020 Grantee Survey Update



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FY 2020 Grantee Survey Update:

Update on Status & Due Date

- OCS is expected to issue an Action Transmittal soon with the revised due date for the FY 2020 Performance Data Form.
- **The new due date will be in March.**
- The Action Transmittal will include the FY 2020 instructions document.
- Grantees are encouraged to prepare their FY 2020 reports **now** to be ready to submission.

FY 2020 Grantee Survey Update: *New Changes For FY 2020 Reporting*

- There are two changes for completing and submitting your FY 2020 Grantee Survey:
 - *Change #1* – New LIHEAP CARES Reporting Requirements
 - *Change #2* – Report Submission Approach

FY 2020 Grantee Survey Update:

Changes For FY 2020: New CARES Reporting

Change #1 – New LIHEAP CARES Reporting Requirements

- As part of the 2020 CARES Act, Congress appropriated approximately \$900 million in supplemental funds for LIHEAP. On May 8th, OCS released the LIHEAP CARES Act funds to grantees.
- The Dear Colleague Letter announcing the award of LIHEAP CARES Act funds notified grantees that they “must track, account for, and report on” these funds.
- **To allow OCS to monitor the use of CARES Act Funds, the Grantee Survey for FY 2020 and FY 2021 includes separate CARES lines so grantees can report on the sources and uses of CARES funds.**
- This means grantees will report on:
 - Total funds, average benefits, and income thresholds for regular (non-CARES) funds/programs.
 - Total funds, average benefits, and income thresholds for CARES funds/programs.

FY 2020 Grantee Survey Update:

Changes For FY 2020: Submission Approach

Change #2 – Submission Approach

- OCS is in the process of working to have the new CARES information for the Grantee Survey added into OLDC. However, this process is ongoing.
- **To assist with timely submission, OCS will be sending each grantee an Excel spreadsheet of the Performance Data form that includes their pre-populated sources of funds.**
- **OCS is asking grantees to enter their final Module 1 and Module 2 data into this spreadsheet and to submit the spreadsheet by the March due date.**
- APPRISE will review the reports. Once OLDC programming is complete, OCS and APPRISE will ask grantees to copy their approved final report from the spreadsheet into OLDC.

Reporting Rules for Module 1 (Grantee Survey)



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General Rules for Reporting

- Grantees are expected to...
 1. Furnish information for the federal fiscal year 2020 reporting period (October 1, 2019-September 30, 2020).
 2. Provide a consistent report where total sources of funds equals total uses of funds.
 3. Explain any unique program features or nuances in the “Notes” section.
 4. Report on the obligation of available funds to different assistance types or categories.

Key Concept:

Obligations

- The Grantee Survey asks you to report “total funds” for different program components. This refers to the amount of your available funds in FFY 2020 you **obligated for each program component**.
- The LIHEAP statute provides grantees with flexibility in defining what constitutes the obligation of funds. As a result, the definition for "obligation" varies across grantees. Examples include:
 - The official designation of funds for specific purposes.
 - The issuance or commitment of funds for specific purposes to subgrantees or partners.
- Obligations are not always the same as expenditures.
 - Expenditures generally include benefits that are issued/paid.
 - In some cases, obligated funds are not actually expended until after the end of the Fiscal Year. For example, a grantee may obligate funds for Heating Assistance during the Fiscal Year, but a portion of those funds may not be expended as benefits issued to clients until subsequent Fiscal Years.

CARES Reminders for Reporting

1. To complete the Grantee Survey, you need to identify CARES funds and benefits separately from regular LIHEAP funds.
2. All CARES funds could have been obligated in FY 2020 or carried into FY 2021. However, 100% must be obligated by the end of FFY 2021.
3. Caps for FY 2020 and FY 2021 are based on all funds payable, including CARES.
 - Example on Next Slide

CARES Reminders

Statutory Caps Example

- Grantee X was awarded the following in FY 2020.
 - \$8 million in FY 2020 block grant funds
 - \$1 million in FY 2020 reallotment funds
 - \$1 million in CARES Act funds.
- That means they have **\$10 million in total funds payable in FY 2020.**
- For this grantee, the allowable limits for FY 2020 funds are as follows:
 - 10% spending cap for Administration = \$1 Million
 - 15% spending cap for Weatherization = \$1.5 Million
 - 5% spending cap for Assurance 16 = \$500,000
- Note: Carryover caps vary for regular funds and CARES.

Section III:

Estimated Sources of LIHEAP Funds



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Overview of Section III

What is included in “Sources of Funds”?

- This section collects and reports data on the sources of LIHEAP funding that were available to your state in FY 2020.
- Sources of funds should include...
 - All federal funds designated for LIHEAP for FY 2020 (net of any set-asides to Indian Tribes/Tribal Organizations).
 - Prior Year Unobligated Funds that were Obligated in FY 2020.
- For FY 2020, grantees’ sources of funds include:
 1. FY 2020 LIHEAP Block Grant Allotment (*AKA Your Regular funds*)
 2. FY 2020 Reallotment Funds
 3. **CARES Act Allotment**
 4. FY 2019 Unobligated Funds Carried Over to FY 2020

Overview of Section III

What is NOT included in “Sources of Funds”?

- Sources of funds should NOT include...
 - **Federal funds designated for LIHEAP for prior fiscal years that were obligated in prior fiscal years**
 - E.g. FY 2019 funds you obligated, but the funds were not expended
 - **Funds that were dedicated as set-asides to Indian Tribes/Tribal Organizations.**
 - E.g. funds that are provided to tribal entities in a state
 - **Non-federal funds (such as leveraged state funds).**
 - E.g. funds your state awarded to you to supplement federal dollars
 - This can include CARES funds your state awarded to you.

Section III Part A:

All Funds Except CARES Act & Other Supplemental Funding

- Part A includes nine lines for regular or traditional LIHEAP funding sources or categories.
- However, only three lines are relevant for FY 2020.
 - Line 1 – Block Grant Allotment
 - Line 3 – Reallotted Funds
 - Line 5 – Funds Carried Over from Previous Year
- **To assist you, the relevant fields will be pre-populated using information from OCS' records or your prior reports.**

Section III Part A:

Line #1 – Block Grant Allotment

- This line contains the state's FY 2020 LIHEAP Block Grant Allotment, net of any applicable set-asides to Indian Tribes/Tribal Organizations.
- Block Grant Allotment funds are the primary LIHEAP funds provided to each grantee by the Federal government.
- This field will be pre-populated by OCS and is locked from editing by grantees. **Grantees should compare the amount against their fiscal records to confirm it is correct.**

<u>All Possible Funding Sources</u>	<u>ALL OF FFY</u> 2019 (10/01/2018 - 09/30/2019) Amount Rounded to the Nearest Dollar
<u>A. All Funds Except Leveraging Incentive Awards (Items 1 - 8)</u>	
<u>1. FFY LIHEAP Block Grant Allotment (Net of Indian Tribal Set-Asides)</u>	\$127,410,239
<u>2. FFY Emergency Contingency Funds (Net of Indian Tribal Set-Asides)</u>	\$0
<u>3. LIHEAP Block Grant Funds Realloted to FFY</u>	\$20,364
<u>4. Previous FFY Unobligated Emergency Contingency Funds, not Subject to 10% Carryover Limit</u>	\$0

Section III Part A:

Line #3 – Reallotted Funds

- This line contains the state's FY 2020 LIHEAP block grant reallotment, net of any applicable set-asides to Indian Tribes/Tribal Organizations, if any.
- Reallotment funds are funds that HHS releases after determining prior year funds that are available for redistribution (as required by the LIHEAP statute).
- This field will be pre-populated by OCS and is locked from editing by grantees. **Grantees should compare the amount against their fiscal records to confirm it is correct.**

All Possible Funding Sources	ALL OF FFY 2019 (10/01/2018 - 09/30/2019) Amount Rounded to the Nearest Dollar
A. All Funds Except Leveraging Incentive Awards (Items 1 - 8)	
1. FFY LIHEAP Block Grant Allotment (Net of Indian Tribal Set-Asides)	\$127,410,239
2. FFY Emergency Contingency Funds (Net of Indian Tribal Set-Asides)	\$0
3. LIHEAP Block Grant Funds Realloted to FFY	\$20,364

Section III Part A:

Line #5 – Funds Carried Over from Previous Year

- This line contains the state's FY 2019 unobligated block grant funds that were *carried over for obligation in FY 2020*, if any.
- This field will pre-populated by OCS using data reported in each state's prior reports. However, it can be edited by grantees. **If necessary, edit the pre-populated amount to reflect the funds that were carried over to FY 2020.**

<u>6. All Funds Carried Over From Previous FFY (except Funds in item 4 and 10 in this Section)</u>	\$4,350,236
<u>7. Petroleum Violation Escrow (Oil Overcharge) Funds Obligated in FFY</u>	\$0
<u>8. FFY Residential Energy Assistance Challenge (R.E.A.Ch.) Program</u>	\$0
B. Leveraging Incentive Award (Items 9 - 10)	
<u>9. FFY Leveraging Incentive Award</u>	\$0
<u>10. Previous FFY Leveraging Incentive Award obligated in FFY</u>	\$0

Section III Part A:

Line #5 – Funds Carried Over from Previous Year

- **How does this connect to other reports?**
 - States reported FY 2019 block grant funds carried over for obligation in FY 2020 in two prior reports:
 - The FY 2019 Grantee Survey – Line 7 of Section IV (Uses of Funds)
 - The FY 2019 Carryover and Reallotment Report
- **What do I do if my pre-populated amount needs to be updated?**
 - States should edit the amount for Line 5 as needed to reflect the estimated funds that were carried over to FY 2020. This may differ from the amount you reported when you completed the prior FY 2019 reports.
 - If you update Line 5...
 - Please include a note indicating you confirmed the amount you are reporting is correct.
 - **If you update Line 5, you do not need to revise your prior submitted FY 2019 reports.**

Section III Part A:

Fields with \$0 in Funding for FY 2020

For FY 2020, the following six fields will be locked with **\$0 for all states:**.

- Line #2 – Emergency Contingency Funds ----- Prepopulated as \$0
- Line #4 – Previous Year Emergency Contingency Funds ----- Prepopulated as \$0
Carried Over
- Line #6 – Petroleum Violation Escrow Funds ----- Prepopulated as \$0
- Line #7 – Funds for Residential Energy Assistance Challenge -- Prepopulated as \$0
(R.E.A.Ch)
- Line #8 – Leveraging Incentive Award ----- Prepopulated as \$0
- Line #9 – Leveraging Incentive Award Carried Over from----- Prepopulated as \$0
Previous Fiscal Year

Section III Part C: All Supplemental Funds

- Part C includes three lines for reporting supplemental LIHEAP funding sources or categories that have been appropriated by Congress and awarded by OCS to grantees.
- This is where you report your LIHEAP CARES Act funds.
- *Why are there other lines for other supplemental funds besides CARES?*
 - OCS revised the Grantee Survey for FY 2020 and FY 2021. The additional lines are intended for next year's FY 2021 Grantee Survey in the event that additional funds are appropriated for LIHEAP by Congress.

Section III Part C:

Line #11 – CARES Act Allotment

- This line contains the state's CARES Act Allotment, net of any applicable set-asides to Indian Tribes/Tribal Organizations.
- This field will be pre-populated by OCS and locked from editing by grantees. **Grantees should compare the amount against their fiscal records to confirm it is correct.**
- *What if I didn't obligate all or some of my LIHEAP CARES Act Funds?*
 - This line will report your total CARES allotment, even if you did not obligate that full amount in FY 2020. Section IV (Uses of Funds) is where you can report on how you did or did not obligate funds during FY 2020.
 - **REMINDER:** Grantees must obligate their CARES funds by the end of fiscal year 2021.

Section III Part C:

Fields with \$0 in Funding for FY 2020

For FY 2020, the following fields should be \$0 for all states.

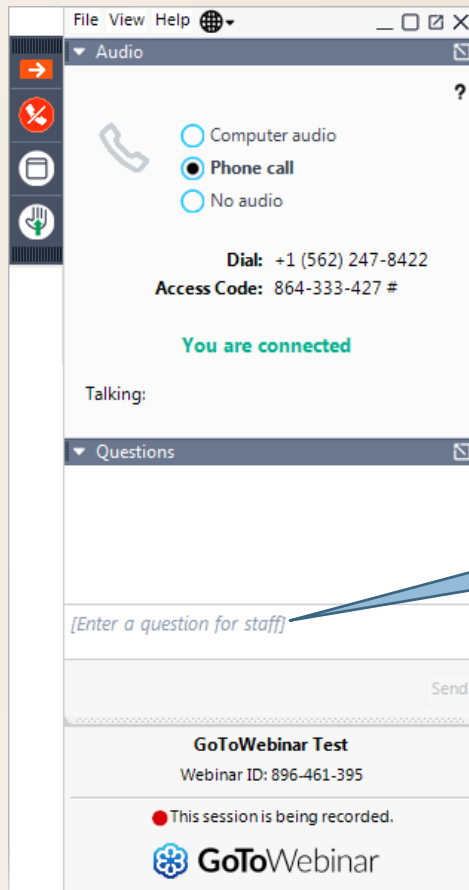
- Line #12 – [Reserved] Other Supplemental Allotment #1--- Prepopulated as \$0
- Line #13 – [Reserved] Other Supplemental Allotment #2--- Prepopulated as \$0

Part E –

Line #15 – Total Sources

- This field will show the total sources of funds you had available in FY 2020 including regular LIHEAP funds and LIHEAP CARES Act funds.
- It is locked from editing by grantees because it will be calculated based on the values in lines 1 to 14.
- This should equal your total uses of LIHEAP federal funds reported in Section IV and calculated in Line 49. [More to come on this]

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Section IV: Estimated Uses of LIHEAP Funds



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Overview of Section IV

What is included in “Uses of Funds”?

- This section reports data on the uses of the federal LIHEAP funding that was available to your state in FY 2020.
- Uses of Funds should include...
 - **All** federal funds/awards that were **obligated** for use in LIHEAP during Federal Fiscal Year 2020 (October 1, 2019 – September 30, 2020).
 - For FY 2020, this includes:
 - All federal funds **obligated** during FY 2020, even if expended later in FY 2021.
 - Funds *carried over* from FY 2019 and **obligated** during FY 2020.
 - Funds **being carried over to FY 2021** are also reported here.

Overview of Section IV

What is NOT included in “Uses of Funds”?

- Uses of funds should NOT include...
 - **Funds that were obligated during FY 2019, even if they were expended during FY 2020.**
 - E.g. You obligated FY 2019 funds for Weatherization, but did not weatherize homes until FY 2020.
 - **Funds available during FY 2020 that were not obligated by the end of FY 2020 and will be returned to OCS.**
 - E.g. Funds not obligated in excess of your allowable carryover amount.
 - **Non-federal funds (such as leveraged state funds).**
 - E.g. funds you obligated for assistance that were not federal dollars.
 - This can include CARES funds your state awarded to you.

Overview of Section IV

Layout & New CARES Reporting

- For Section IV, the Grantee Survey has been expanded to include fields for reporting on the obligation of LIHEAP CARES funds.
- Section IV is structured like this:
 - **Parts A to C – Report on uses of regular LIHEAP funds (same as in the past)**
 - Total Funds/Awards obligated to each type of assistance / category
 - Average Household Benefit amount
 - Maximum Annual Dollar Income for a 4-person household
 - **Parts D to F – Report on uses of CARES Act funds**
 - Total Funds/Awards obligated to each type of assistance / category
 - Average Household Benefit amount
 - Maximum Annual Dollar Income for a 4-person household
 - **Other Parts (G-N)**
 - Not applicable for FY 2020 or auto-calculated

Overview of Section IV

Consistency with Household Report

- Section IV funding uses should match the types of assistance reported in your Household Report.
- If you reported assisting households with a type of assistance in your Household Report, you should be able to report the following for that type of assistance:
 - **Total Funds/Awards Funds**
 - **Average Household Benefit**
 - **Maximum Annual Dollar Income**
- Please add a note if...
 - If you obligated \$0 for a type of assistance reported in your Household Report.
 - If you obligated funds for assistance and reported 0 assisted households for that assistance in your Household Report,

Part A:

Type of LIHEAP Assistance



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Part A:

- Reporting for Regular LIHEAP funds (non-CARES):

A. Type of LIHEAP Assistance--Non-Supplemental Funds (Items 1-4)

1. Heating Assistance Benefits--non-supplemental funds
2. Cooling Assistance Benefits--non-supplemental funds
3. Crisis Benefits by Type--non-supplemental funds
a. Winter Crisis Benefits--non-supplemental funds
b. Summer Crisis Benefits--non-supplemental funds
c. Year-round Crisis Benefits--non-supplemental funds
<u>d. Other Crisis Benefits--non-supplemental funds</u>
(1) Specify--non-supplemental funds
(2) Specify--non-supplemental funds
(3) Specify--non-supplemental funds
4. Weatherization Assistance Benefits--non-supplemental funds

All of FFY 2020 (10/1/2019) to 9/30/2020)

Amount Rounded to the Nearest Dollar

Total Funds/Awards	Average Household Benefit	Maximum Annual Dollar Income for 4-Person Household as of the effective
\$0	\$0	\$0
\$0	\$0	\$0
\$0	\$0	\$0
\$0	\$0	\$0
\$0	\$0	\$0
\$0	\$0	\$0
\$0	\$0	\$0
\$0	\$0	\$0
\$0	\$0	\$0
\$0	\$0	\$0

Part D:

- Reporting for LIHEAP CARES funds is done in Part D.

D. Type of LIHEAP Assistance--CARES Act Funds (Items 15-18)

All of FFY 2020 (10/1/2019) to 9/30/2020			
Amount Rounded to the Nearest Dollar			
	Total Funds/Awards	Average Household Benefit	Maximum Annual Dollar Income for 4-Person Household as of the effective
15. Heating Assistance Benefits--CARES Act Funds	\$0	\$0	\$0
16. Cooling Assistance Benefits--CARES Act Funds	\$0	\$0	\$0
17. Crisis Benefits by Type--CARES Act Funds			
a. Winter Crisis Benefits--CARES Act Funds	\$0	\$0	\$0
b. Summer Crisis Benefits--CARES Act Funds	\$0	\$0	\$0
c. Year-round Crisis Benefits--CARES Act Funds	\$0	\$0	\$0
<u>d. Other Crisis Benefits--CARES Act Funds</u>	\$0		
(1) Specify--CARES Act Funds	\$0	\$0	\$0
(2) Specify--CARES Act Funds	\$0	\$0	\$0
(3) Specify--CARES Act Funds	\$0	\$0	\$0
18. Weatherization Assistance Benefits--CARES Act Funds	\$0		\$0

Section IV Part A

Column 1 – Total Funds/Awards

<u>All Possible Uses of Funds</u>	ALL OF FFY 2019 (10/01/2018 - 09/30/2019) Amount Rounded to the Nearest Dollar		
	<u>Total Funds / Awards Funds</u>	<u>Average Household Benefit</u>	<u>Maximum Annual Dollar Income for 4-person Household as of 10/01/2017</u>
A Type of LIHEAP Assistance (Items 1-4)			
1. Heating Assistance Benefits	\$68,728,912	\$261	\$49,200
2. Cooling Assistance Benefits	\$11,913,700	\$200	\$49,200
3. Crisis Benefits by Type			
a. Winter Crisis Benefits	\$15,084,333	\$360	\$49,200
b. Summer Crisis Benefits	\$0	\$0	\$0
c. Year-Round Crisis Benefits	\$0	\$0	\$0
d. Other Crisis Benefits:	\$361,974		
(1) Specify: Furnace Repair	\$358,426	\$656	\$49,200
(2) Specify: Furnace Restart	\$3,548	\$71	\$49,200
(3) Specify:	\$0	\$0	\$0
4. Weatherization Assistance Benefits	\$14,248,389		\$0

Line #1 – Heating Assistance Benefits

Total Funds/Awards

- Indicate the amount of regular funds obligated for Heating Assistance Benefits in FY 2020 in the first column. *Exclude CARES Act funds.*
- Heating Assistance Benefits include...
 - Funds allocated for regular heating assistance to pay a share of a household's heating bills
 - Funds for other non-crisis heating assistance, such as furnace repairs or replacements done on a non-emergency basis. Add a note that describes such assistance and indicates the amount of funds used for it.
- Exclude the cost of administering the heating assistance component.

<u>All Possible Uses of Funds</u>	<u>Total Funds / Awards Funds</u>	<u>Average Household Benefit</u>	<u>Maximum Annual Dollar Income for 4-person Household as of 10/01/2018</u>
<u>A Type of LIHEAP Assistance (Items 1-4)</u>			
<u>1. Heating Assistance Benefits</u>	\$68,728,912	\$261	\$49,200

Line #1 – Heating Assistance Benefits

Expedited Heating Assistance

- Some grantees do not have a separate crisis component in their program, but do provide expedited heating assistance to households in crisis situations.
- Grantees have two options to report the funds used to provide households with expedited heating assistance:
 1. Report all funding obligated to assist households with heating assistance (regular and expedited) under *Heating Assistance*.
 2. Report the funding obligated to assist households with regular heating assistance under *Heating Assistance*, and the funding obligated to assist households with expedited heating assistance under *Crisis Assistance*.
- Add a note indicating that some households received expedited heating assistance.

Line #2 – Cooling Assistance Benefits

Total Funds/Awards

- Indicate the amount of regular funds obligated for Cooling Assistance Benefits in FY 2020 in the first column. *Exclude CARES Act funds.*
- Cooling Assistance Benefits include...
 - Funds allocated for regular cooling assistance to pay a share of a household's cooling bills.
 - Funds for other non-crisis cooling assistance, such as AC installations done on a non-emergency basis. Add a note that describes such assistance and indicates the amount of funds used for it.
- Exclude the cost of administering the cooling assistance component.

<u>All Possible Uses of Funds</u>	<u>Total Funds / Awards Funds</u>	<u>Average Household Benefit</u>	<u>Maximum Annual Dollar Income for 4-person Household as of 10/01/2018</u>
<u>A Type of LIHEAP Assistance (Items 1-4)</u>			
<u>1. Heating Assistance Benefits</u>	\$68,728,912	\$261	\$49,200
<u>2. Cooling Assistance Benefits</u>	\$11,913,700	\$200	\$49,200

Line #3 – Crisis Benefits by Type

<u>All Possible Uses of Funds</u>	<u>ALL OF FFY</u> 2019 (10/01/2018 - 09/30/2019) Amount Rounded to the Nearest Dollar		
	<u>Total Funds / Awards Funds</u>	<u>Average Household Benefit</u>	<u>Maximum Annual Dollar Income for 4-person Household as of 10/01/2017</u>
A Type of LIHEAP Assistance (Items 1-4)			
1. Heating Assistance Benefits	\$68,728,912	\$261	\$49,200
2. Cooling Assistance Benefits	\$11,913,700	\$200	\$49,200
3. Crisis Benefits by Type			
a. Winter Crisis Benefits	\$15,084,333	\$360	\$49,200
b. Summer Crisis Benefits	\$0	\$0	\$0
c. Year-Round Crisis Benefits	\$0	\$0	\$0
d. Other Crisis Benefits:	\$361,974		
(1) Specify: Furnace Repair	\$358,426	\$656	\$49,200
(2) Specify: Furnace Restart	\$3,548	\$71	\$49,200
(3) Specify:	\$0	\$0	\$0
4. Weatherization Assistance Benefits	\$14,248,389		\$0

Line #3 – Crisis Benefits by Type

- What is crisis assistance?
 - A type of LIHEAP assistance that is provided no later than 48 hours (or 18 hours in life-threatening situations) after a request for assistance. Grantees set their own criteria for crisis assistance, defined in their Model Plans. Crisis reporting in the Household Report should be consistent with the Model Plan.
- Crisis Assistance Benefits can be reported under four different categories in the Grantee Survey:
 - a. Winter Crisis
 - b. Summer Crisis
 - c. Year-Round Crisis
 - d. Other Crisis

Line #3a – Winter Crisis Benefits

Total Funds/Awards

- Which regular funds should be reported as Winter Crisis Benefits?
 - Any funds obligated to delivering winter crisis assistance to households.
 - Typically includes crisis assistance provided under the same timeline as a state's heating assistance program.
- Exclude the cost of administering the crisis assistance component.
- Examples of winter crisis assistance could include:
 - a. Bill-payment assistance after disconnection/disconnect notice
 - b. Emergency fuel delivery after running out of fuel or due to imminent risk of running out of fuel

Line #3b – Summer Crisis Benefits

Total Funds/Awards

- Which regular funds should be reported as Summer Crisis Benefits?
 - Any funds obligated to delivering summer crisis assistance to households.
 - Typically includes crisis assistance provided under the same timeline as a state's cooling assistance program.
- Exclude the cost of administering the crisis assistance component.
- Examples of summer crisis assistance could include:
 - Bill-payment assistance after disconnection/disconnect notice

Line #3c – Year-Round Crisis Benefits

Total Funds/Awards

- Which regular funds should be reported as Year-Round Crisis Benefits?
 - Any funds obligated to delivering year-round crisis assistance to households.
 - Typically includes crisis assistance provided throughout the year, rather than seasonally.
 - For expedited or “fast track” heating assistance in a crisis situation, see earlier slide for Heating Assistance.
- Exclude the cost of administering the crisis assistance component.
- Examples of year-round crisis assistance could include:
 - Bill-payment assistance after disconnection/disconnect notice
 - Emergency fuel delivery after running out of fuel or due to imminent risk of running out of fuel

Line #3d – Other Crisis Benefits

Total Funds/Awards

- The first row of 3d is not editable, and the first column is auto-calculated from the sum of the three rows underneath.

d. Other Crisis Benefits:	\$361,974			Not Editable
(1) Specify: Furnace Repair	\$358,426	\$656	\$49,200	
(2) Specify: Furnace Restart	\$3,548	\$71	\$49,200	Report Here
(3) Specify:	\$0	\$0	\$0	

- Report any funding obligated to other crisis assistance on rows 3d(1), 3d(2), and 3d(3).
 - Include a name or brief description of the assistance.
 - Report any funds obligated to delivering other crisis assistance.
 - Emergency Furnace Repairs & Replacements should be reported on their own line.
- Exclude the cost of administering the crisis assistance component.

Line #4 – Weatherization Benefits

Total Funds/Awards

- Indicate the amount of regular funds obligated for low-cost residential weatherization or other energy-related home repairs, if any.
 - Exclude the cost of administering the LIHEAP weatherization assistance component.
 - Include any weatherization funds for other non-crisis assistance. Add a note that describes such assistance and indicates the funding amount.
- Report regular federal LIHEAP funds **only**.
 - In the past, some grantees have incorrectly reported both LIHEAP and Department of Energy weatherization funds together. This is not correct.
 - If you obligated CARES Act funds to Weatherization, exclude those funds from Line #4. They are reported in Part D.

Line #4 – Weatherization Benefits

Total Funds/Awards

- The LIHEAP statute limits the amount of LIHEAP funds that may be spent on low-cost weatherization or other energy-related home repair to 15% of LIHEAP funds.
 - HHS may grant a waiver that raises this limit to 25%. If this is the case for your state, you should include a note in the ‘Notes’ section to indicate that your state received a waiver from HHS in FY 2020.
- Several uses of LIHEAP funds are limited to a certain percent of funds allocated or funds payable.
 - For FY 2020, *funds allocated* and *funds payable* are the same. They are defined as the sum of the following sources of funds:
 - LIHEAP Block Grant Allotment
 - Reallotted Funds
 - CARES Funds

Section IV Part A

Column 2 – Average Household Benefits

<u>All Possible Uses of Funds</u>	ALL OF FFY 2019 (10/01/2018 - 09/30/2019) Amount Rounded to the Nearest Dollar		
	<u>Total Funds / Awards Funds</u>	<u>Average Household Benefit</u>	<u>Maximum Annual Dollar Income for 4-person Household as of 10/01/2018</u>
A Type of LIHEAP Assistance (Items 1-4)			
1. Heating Assistance Benefits	\$68,728,912	\$261	\$49,200
2. Cooling Assistance Benefits	\$11,913,700	\$200	\$49,200
3. Crisis Benefits by Type			
a. Winter Crisis Benefits	\$15,084,333	\$360	\$49,200
b. Summer Crisis Benefits	\$0	\$0	\$0
c. Year-Round Crisis Benefits	\$0	\$0	\$0
d. Other Crisis Benefits:	\$361,974		
(1) Specify: Furnace Repair	\$358,426	\$656	\$49,200
(2) Specify: Furnace Restart	\$3,548	\$71	\$49,200
(3) Specify:	\$0	\$0	\$0
4. Weatherization Assistance Benefits	\$14,248,389		\$0

Column 2 – Average Household Benefits

- In the second column, indicate the average benefit amount for households assisted with each type of assistance using your regular LIHEAP funds.
- For each type of assistance...
 - The average household benefit should take into account the benefits provided to households with regular LIHEAP funds during the entire fiscal year.
 - **The average benefit should be calculated based on the actual benefits households received. This may differ from your most common benefit amount because of households receiving higher/lower amounts.**
- If the average household benefit includes benefits other than bill payment assistance, please include a description of the benefit types in the 'Notes' section.

Section IV Part A

Column 3 - Maximum Annual Dollar Income

<u>All Possible Uses of Funds</u>	ALL OF FFY 2019 (10/01/2018 - 09/30/2019) Amount Rounded to the Nearest Dollar		
	<u>Total Funds / Awards Funds</u>	<u>Average Household Benefit</u>	<u>Maximum Annual Dollar Income for 4-person Household as of 10/01/2018</u>
A Type of LIHEAP Assistance (Items 1-4)			
1. Heating Assistance Benefits	\$68,728,912	\$261	\$49,200
2. Cooling Assistance Benefits	\$11,913,700	\$200	\$49,200
3. Crisis Benefits by Type			
a. Winter Crisis Benefits	\$15,084,333	\$360	\$49,200
b. Summer Crisis Benefits	\$0	\$0	\$0
c. Year-Round Crisis Benefits	\$0	\$0	\$0
d. Other Crisis Benefits:	\$361,974		
(1) Specify: Furnace Repair	\$358,426	\$656	\$49,200
(2) Specify: Furnace Restart	\$3,548	\$71	\$49,200
(3) Specify:	\$0	\$0	\$0
4. Weatherization Assistance Benefits	\$14,248,389		\$0

Column 3

Maximum Annual Dollar Income

- In the third column, list the maximum annual or annualized dollar income cutoff for a 4-person household that was in effect at the beginning of FY 2020 (October 1, 2019).
 - The Poverty Guidelines that were in effect at the beginning of FY 2020 were the 2019 HHS Poverty guidelines.
- Report the maximum income based on your income-eligibility criteria used for regular LIHEAP assistance.
- If a Grantee's LIHEAP program component began after the release of the 2020 HHS Federal Poverty Guidelines, the grantee may choose to use the 2020 Guidelines in its FY 2020 LIHEAP Grantee Survey reporting.
 - Grantees who choose to use the 2020 HHS Poverty Guidelines in their report should include a note stating this in the 'Notes' section of the form.

Line #5 – Average Annual Total LIHEAP Benefit per Household

- Report the total average annual per household LIHEAP Bill Payment Assistance Benefit(s) by main heating fuel type for those households with 12 consecutive months of both main fuel and electric bill data.

		Bill Payment-Assisted Household Main Fuel				
<u>All Households with 12 Consecutive Months of Bill Data (Main Fuel and Electric)</u>	<u>All Households</u>	<u>Electricity</u>	<u>Natural Gas</u>	<u>Fuel Oil</u>	<u>Propane</u>	<u>Other Fuels</u>
<u>5. Average Annual Total LIHEAP Benefit per Household (including Heating, Cooling, Crisis, Supplemental Benefits)</u>	\$445	\$509	\$406	\$800	\$682	\$776

Part B: Other Permitted Uses of LIHEAP Funds



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Line #6 – Nominal Payments

- Report the regular funding obligated for nominal LIHEAP benefit payments.
- **Nominal payments** are LIHEAP benefit payments that deviate from the state's regular payment matrix because the household received only a minimal benefit as part of a partnership with the Supplemental Nutrition Assistance Program (SNAP).
- Only the few states that have a separate LIHEAP payment amount for SNAP recipient households need to report this.
 - This is often referred to as "Heat or Eat" or "Cool or Eat" Program.

Line #7 – FFY Unobligated Funds Carried Over to Next Fiscal Year

- Report the total regular funds *carried over* to the next fiscal year.
- **What are “carried over” funds?**
 - The LIHEAP statute allows states to hold available up to 10% of regular funds payable to the state for a fiscal year for obligation in the following fiscal year.
 - This means states may have unobligated regular funds that are being carried over for obligation in the next fiscal year.
 - States may only carry over up to 10% of regular funds payable. Unobligated regular funds that exceed 10% of funds payable must be returned to the Federal government.

B. Other Permitted Uses of LIHEAP Funds (Items 6 - 14)	
6. Nominal Payments	\$0
7. FFY Unobligated Funds (excluding funds in Items 8 & 9) Carried Over to next FFY	\$4,350,236

Presenter(s):
Dan Bausch

Line #7 – FFY Unobligated Funds Carried Over to Next Fiscal Year

- **What should Line 7 include?**

- Line 7 should only include regular **unobligated** FY 2020 funds payable.
- Line 7 should not include funds that were obligated in FY 2020, even if they were not expended during FY 2020.
- Line 7 should only include funds *carried over* to FY 2021. If your state returned excess unobligated funds to the Federal government, you should **exclude** these funds from Line 7.
- Note: Excluding returned funds from Line 7 will cause “Estimated Total Uses of Funds” in Section IV to be different from “Estimated Total Sources of Funds” in Section III.
 - o This is acceptable. You can submit the form if “Uses” and “Sources” are different for this reason. You should include a note explaining this.
 - o The difference should be equal to the dollar amount returned to HHS.

Line #7 – FFY Unobligated Funds Carried Over to Next Fiscal Year

- **How does this connect to other reports?**
 - States reported their estimated FY 2020 funds carried over for obligation to FY 2020 in the FY 2020 Carryover and Reallotment Report.
 - However, some states may have an updated carryover amount at the time the Grantee Survey is completed.
- **Reporting Guidance**
 - States should provide their best estimate of their carryover amount at the time the Grantee Survey is completed.
 - If the carryover amount you report in Line 7 does not match the carryover amount reported in the FY 2020 Carryover & Re-allotment Report, you must submit a revision to the FY 2020 Carryover & Re-allotment Report with the correct amount.

Line #10 – Funds Used for Identification, Development and Demonstration of Leverage Incentive Activities

- Report the amount of the state's FY 2020 LIHEAP block grant allotment that was obligated, if any, to identify, develop, and demonstrate leveraging activities.
- The LIHEAP statute limits this amount to the greater of 0.08% of funds payable or \$35,000.

B. Other Permitted Uses of LIHEAP Funds (Items 6 - 14)			
6. Nominal Payments	\$0		
7. FFY Unobligated Funds (excluding funds in Items 8 & 9) Carried Over to next FFY	\$4,350,236		
8. FFY Allowable Unobligated Emergency Contingency Funds, not Subject to 10% Carryover Limit, Obligated in next FFY	\$0		
9. FFY Leveraging Incentive Award Obligated in next FFY	\$0		
10. Reserved			
11. FFY LIHEAP Block Grant Allotment Used to Identify, Develop & Demonstrate Leveraging Incentive Activities	\$0		
12. Amount for Assurance 16 Activities	\$0		
13. FFY Residential Energy Assistance Challenge (R.E.A.Ch.) Program	\$0		
14. Administration/Planning Costs	\$12,743,059		

Presenter(s):
Melissa Torgerson

Line #11 – Assurance 16

- Indicate any regular FY 2020 LIHEAP funds obligated to carry out “Assurance 16 activities”, if any.
- **Assurance 16 activities** include services that encourage and enable households to reduce their home energy needs and thereby the need for energy assistance.
- Examples including providing needs assessment, counseling, and assistance with energy vendors.
- The LIHEAP statute limits this amount to 5% of funds payable.

Line #13 – Administration/Planning Costs

- Report the amount of regular FY 2020 funds obligated for administration and planning costs. The amount should include:
 - All state and local administration and planning costs
 - Both direct and indirect costs charged as administration and planning costs for the program.

B. Other Permitted Uses of LIHEAP Funds (Items 6 - 14)			
6. Nominal Payments	\$0		
7. FFY Unobligated Funds (excluding funds in Items 8 & 9) Carried Over to next FFY	\$4,350,236		
8. FFY Allowable Unobligated Emergency Contingency Funds, not Subject to 10% Carryover Limit, Obligated in next FFY	\$0		
9. FFY Leveraging Incentive Award Obligated in next FFY	\$0		
10. Reserved			
11. FFY LIHEAP Block Grant Allotment Used to Identify, Develop & Demonstrate Leveraging Incentive Activities	\$0		
12. Amount for Assurance 16 Activities	\$0		
13. FFY Residential Energy Assistance Challenge (R.E.A.Ch.) Program	\$0		
14. Administration/Planning Costs	\$12,743,059		

Presenter(s):
Melissa Torgerson

Line #13 – Administration/Planning Costs

- Grantees have the flexibility to define what counts as an “Administration/Planning Cost”.
- The cost of administering the state’s LIHEAP weatherization assistance is to be included.
- Because there is not a field for program-related Information Technology (IT) expenditures, those should be included in Administration/Planning Costs with a note identifying the amount of funds used for program-related IT.
 - Adding a note is important since these funds can cause Admin to exceed 10%.

Note on Administration/Planning Costs

- The LIHEAP statute limits the amount that states obligate in planning and administration to 10% of the funds payable to the state.
- The 10% cap is based on your total FY 2020 funds payable. This includes:
 - FY 2020 Block Grant Funds
 - FY 2020 Reallotment Funds
 - CARES Act Funds
- Please contact OCS or APPRISE if you have questions about the allowable limits for administration.

Section IV Part B:

Fields with \$0 in Funding for FY 2020

For FY 2020, the following fields should be **\$0 for all states:**.

- Line #8 FFY Allowable Unobligated Emergency Contingency Funds-- Prepopulated as \$0
- Line #9 FFY Leveraging Incentive Award Obligated in next FFY----- Prepopulated as \$0
- Line #12 FFY Residential Energy Assistance Challenge Program----- Prepopulated as \$0

Part C: Estimated Total Uses of Funds



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Line #14 – Sum of Items 1-4 and 6-13 (Estimated Total Uses of Funds)

- Line 14 is locked from editing by grantees because it will be calculated based on the values in lines 1 to 13.
- After you enter your sources and uses of regular funds, Line #14 should equal your total sources of regular LIHEAP federal funds calculated in Section III Line 10.

Section III
Line 10
*Total Sources of
Regular Funds*

=

Section IV
Line 14
*Total Uses of
Regular Funds*

Questions 1 and 2

This section includes two questions:

- **Question 1 – *Households Assisted in Subsequent FY***
 - Select the appropriate answer (Yes or No) to indicate whether your state obligated funding for a given type of assistance in FY 2020, but will serve households in FY 2020.
- **Question 2 – *Estimated Household Benefits***
 - Select the appropriate answer (Yes or No) to indicate whether your State's Average Household Benefit data points are estimated due to unique program operation, rather than directly calculated.

***** If you answer yes to either of these Questions, please include clarifications in the 'Notes' section of the form.**

Parts D to F: *CARES Reporting*



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Parts D to F: *CARES Reporting Rules*

- **Parts D to F are mirror images of Parts A to C.**
- **Report the same information, but for CARES funds and benefits only.**
 - Total Funds/Awards – Report total CARES funds obligated for each assistance type or funding category.
 - Average Benefits – Report the average benefit amounts based on CARES funds.
 - Income Thresholds – Report the maximum income based on the income threshold you used.

Scenario #1

Grantee Z Carries Over All CARES Funds

- Grantee Z received \$1 Million in LIHEAP CARES Act funds. They decided to obligate none of the CARES funds during FFY 2020 and carry over all funds to FFY 2021.

Section	Line	CARES Lines	Total Funds	Average Benefit
Sources of CARES Funds				
Section III	Line 11	CARES Act Allotment (Net of Indian Tribal Set-Asides)	\$1 Million	
Uses of CARES Funds				
Section IV	Line 21	Unobligated CARES Act Funds Carried Over to next FFY	\$1 Million	-
Section IV	Line 24	Administration / Planning	\$0	-
Section IV	Line 25	Sum of Uses of CARES	\$1 Million	-

Scenario #2

Grantee X Obligates All CARES for Supplemental Benefits

- Grantee X received \$1 Million in LIHEAP CARES Act funds. They decided to obligate all the CARES funds during FFY 2020.
- Grantee X used the CARES funds to provide \$50 supplemental benefits to households that had received their regular heating assistance.
- 95% of CARES went to their supplemental benefits and 5% to administration.

Section	Line	CARES Lines	Total Funds	Average Benefit
Sources of CARES Funds				
Section III	Line 11	CARES Act Allotment (Net of Indian Tribal Set-Asides)	\$1 Million	
Uses of CARES Funds				
Section IV	Line 15	Heating Assistance Benefits	\$950,000	\$50
Section IV	Line 21	Unobligated CARES Act Funds Carried Over to next FFY	\$0	-
Section IV	Line 24	Administration / Planning	\$50,000	-
Section IV	Line 25	Sum of Uses of CARES	\$1 Million	-

Scenario #3

Grantee Y Obligates Half of CARES for New Crisis Program

- Grantee Y received \$1 Million in LIHEAP CARES Act funds. They decided to obligate half the CARES funds during FFY 2020 and carry over the other half to FFY 2021.
- Grantee Y used the CARES funds in FFY 2020 to implement a new COVID Crisis program. The average benefit from this program was \$250.
- 95 % of funds went to the program, 5% to administration

Section	Line	CARES Lines	Total Funds	Average Benefit
Sources of CARES Funds				
Section III	Line 11	CARES Act Allotment (Net of Indian Tribal Set-Asides)	\$1 Million	
Uses of CARES Funds				
Section IV	Line 17d	Other Crisis Assistance #1 – <u>COVID Crisis Program</u>	\$475,000	\$250
Section IV	Line 21	Unobligated CARES Act Funds Carried Over to next FFY	\$500,000	-
Section IV	Line 24	Administration / Planning	\$25,000	-
Section IV	Line 25	Sum of Uses of CARES	\$1 Million	-

Final Reminders



ADMINISTRATION FOR
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Final Reminders

Changes to Module 1

- Module 1 (the Grantee Survey) has been revised for FY 2020 and FY 2021 to track and monitor the use of LIHEAP CARES funds.
- As in the past, grantees are required to report on sources and uses of regular LIHEAP funds (non-CARES). **New lines have been added so grantees can also report on the sources and uses of CARES funds.**
- The overall format of Module 1 is consistent with the past.
- Note: Module 2 (Performance Measures) has not been changed and has the same reporting format and lines as in prior years.

Final Reminders

FY 2020 Report Deadline

- OCS is expected to issue an Action Transmittal soon with the revised due date for the FY 2020 Performance Data Form.
- The new due date will be in March.
- The Action Transmittal will include the FY 2020 instructions document.

Final Reminders

Submission Approach

- OCS will be sending each grantee an Excel spreadsheet of the FY 2020 Performance Data form that includes their pre-populated sources of funds.
- **OCS is asking grantees to enter their final Module 1 and Module 2 data into this spreadsheet and to submit the spreadsheet by the March due date.**
- OCS will be sending further instructions soon.
- At a later date, OCS and APPRISE will ask grantees to copy their approved final report from the spreadsheet into OLDC.

Final Reminders

Grantee Survey Resources

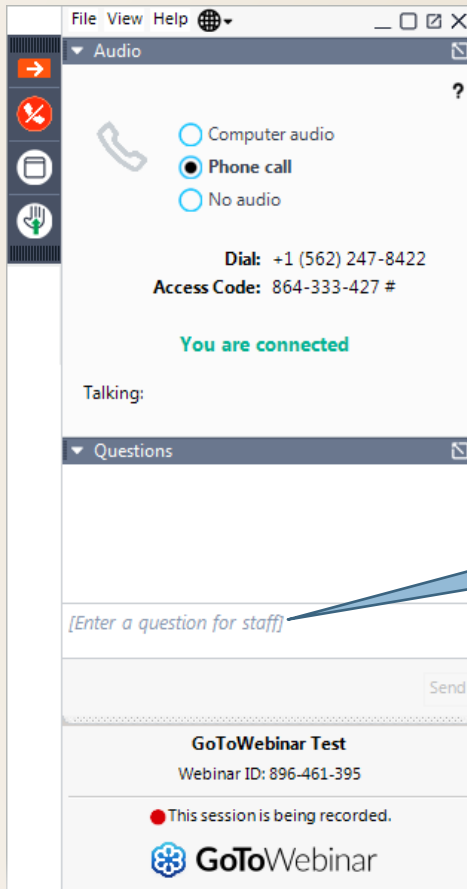
- **“Check Before You Submit” Document:**
[https://liheappm.acf.hhs.gov/sites/default/files/private/grantee_tools/best_practices/PDF-Module-1-\(Grantee%20Survey\)-Check-Before-You%20Submit-Document.pdf](https://liheappm.acf.hhs.gov/sites/default/files/private/grantee_tools/best_practices/PDF-Module-1-(Grantee%20Survey)-Check-Before-You%20Submit-Document.pdf)
- **Prior FY 2019 Performance Data Form AT and Instructions:**
<https://www.acf.hhs.gov/ocs/policy-guidance/liheap-2020-01-performance-data-form-fy-2019>
- **Past Years’ Grantee Survey Data:**
https://liheappm.acf.hhs.gov/data_warehouse/index.php?report=homepage

Final Reminders

Support Resources

- OCS liaisons
 - <https://www.acf.hhs.gov/ocs/contact-information/liheap-contact-information-division-energy-assistance-federal-staff>
- Grants Center Of Excellence systems Help Desk
 - help@grantsolutions.gov
 - (202) 401-5282 or (866) 577-0771
- APPRISE Team
 - Daniel Bausch, Daniel-Bausch@appraiseinc.org; 609-252-9050
 - Jorge MancillaUribe, Jorge-MancillaUribe@appraiseinc.org; 609-252-9009
 - Pragya Chauhan, Pragya-Chauhan@appraiseinc.org; 609-252-9057
 - Thomas Hanes, Tom-Hanes@appraiseinc.org; 609-252-9055
 - Melissa Torgerson, melissa@verveassociates.net

GoToWebinar Question Box



Enter text here to ask a question.

If the sidebar is minimized, it will look like this:

Click this button to expand sidebar.



Audience Poll Question #2

QUICKPOLL

How confident are you that you understand how to correctly complete the FY 2020 Grantee Survey?

Please select one:

- **Not at all Confident**
- **Not Too Confident**
- **Somewhat Confident**
- **Very Confident**

Submit

